



BEST AVAILABLE COPY

ATTORNEY DOCKET NO. GREN.P001-2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Application No: 09/682,985
Filing Date: 11/05/2001
First Named Inventor: White
Group Art Unit: 2164
Confirmation No.: 4151
Attorney Docket No. GREN.P001-2

Page 1 of 2

Examiner's Initials	US Patent Document	Name of Patentee or applicant of cited document	Date of Publication of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear
HS	4,980,828	Wagner	25 Dec. 1990	
HS	4,903,201	Wagner	20 Feb. 1990	
HS	5,794,219	Brown	11 Aug. 1998	
HS	4,412,287	Braddock	25 Oct. 1983	
HS	3,573,747	Adams	06 April 1971	
HS	5,168,446	Wiseman	01 Dec. 1992	
HS	4,677,552	Sibley	30 June 1987	
HS	5,794,207	Walker	11 Aug. 1998	
HS	3,581,072	Nymeyer	25 May 1971	
HS	5,077,665	Silverman	31 Dec. 1991	
HS	5,136,501	Silverman	04 Aug. 1992	

FOREIGN PATENT DOCUMENTS

Examiner's Initials	Cite No.	office	Number	Kind Code	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document	Pages where relevant passages appear	T ²
HS		WO	98/10361		Walker	12 Mar. 1998		



Examiner's Initials	OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS
Hs	Document entitled "1996.12.17 prior art search part 1.doc" Print out of a Dialog search on Dec. 17, 1996
Hs	1985: Excerpts from "Market Making and the Changing Structure of the Securities Industry"
Hs	1990.01.19: SEC Release No. 34-27611 re Delta Government Options Corp.
Hs	1990.10.03: Form 1 filed by Wunsch Auction Systems, Inc.
Hs	1991.02.20: SEC Release No. 34-28899 re Wunsch Auction Systems, Inc.
Hs	1994.10: NYSE Working Paper 94-02 titled "In Search of Liquidity: Block Trades in the Upstairs and Downstairs Markets"
Hs	1994.11.21: Document titled "arizona stock exchange user's guide VERSION 2.1"
Hs	1996.12.17: Document titled "1996.12.17 prior art search part 0.doc". This is a 217 page print out of a log file that was collected during an interaction with the Dialog search system on December 17, 1996. It shows both the commands that were entered into the Dialog system and the output that was received. I have not reviewed that log file in detail. I have not obtained copies of the patents identified in that log file.
Hs	FIX Protocol Version 4.0 Release Notes (made available in January of 1997, but the date shown is January 1996), obtained from a web site
Hs	FIX Protocol Version 4.0, obtained from a web site
Hs	CMS Interface Standards (with a cover letter that shows that the May 1996 version was being used in April of 1997)
Hs	Federal Express Tracking Input Page, obtained from a web site at www.fedex.com
Hs	Federal Express Tracking Results Page, obtained from a web site at www.fedex.com

This Information Disclosure Citation List is being submitted as a substitute for Form PTO-1449. The Examiner is requested to place his or her initials on the lines adjacent to the citations to indicate that the reference has been considered. The Examiner is further requested to fill in his or her name and the date the information was considered in blocks at the bottom of this substitute for Form PTO-1449.

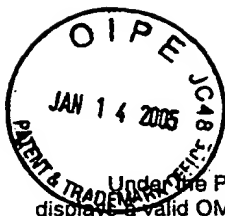
Examiner

John Ted Son

Date Considered

07/26/05

BEST AVAILABLE COPY



PTO/SB/08b (08-03)

Approved for use through 06/30/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Complete if Known			
		Application Number	09/682,985		
		Filing Date	11/5/2001		
		First Named Inventor	White		
		Art Unit	2135		
Sheet	1	of	1	Examiner Name	Linh Son
				Attorney Docket Number	GREN.P-001-2

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No.†	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
HS		Amazon.com Check out Sign In.	
HS		Running a Perfect Web Site with Apache, 1996, Page(s) 1-11, Chapter 1.	
HS		Running a Perfect Web Site with Apache, 1996, Page(s) 1-12, Chapter 4.	
HS		Running a Perfect Web Site with Apache, 1996, Page(s) 1-30, Chapter 5.	
HS		Running a Perfect Web Site with Windows, 1996, Page(s) 1-33, Chapter 5.	
HS		Running a Perfect Web Site with Apache, 1996, Page(s) 1-38, Chapter 7.	

Examiner Signature	<i>Linh H. Son</i>	Date Considered	04/26/05
-----------------------	--------------------	--------------------	----------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

† Applicant's unique citation designation number (optional). * Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.